

3633/\$

Approved for use through 10/31/2002 OMB 0651-0031
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TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Application No.	09/843,597	
	Filing Date	April 26, 2001	
	First Named Inventor	Thomas W. Mossberg	
	Group Art Unit	3633	
	Examiner Name	Not Yet Assigned	
Total Number of Pages in This Submission	7	Attorney Docket Number	5455P001X

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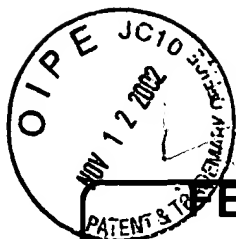
ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <div style="border: 1px solid black; padding: 5px; margin-top: 5px;">-Copies of 9 cited references -Check for \$180.00 for fees -Return Receipt Postcard</div>
Remarks		

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SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Gregory D. Caldwell, Reg. No. 39,926 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	
Date	November 7, 2002

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I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class mail with sufficient postage in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on: November 7, 2002			
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FEE TRANSMITTAL for FY 2003		Complete if Known	
Patent fees are subject to annual revision.		Application Number	097843,597
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.		Filing Date	April 26, 2001
TOTAL AMOUNT OF PAYMENT (\$)		First Named Inventor	Thomas W. Mossberg
180.00		Examiner Name	Not Yet Assigned
		Group/Art Unit	3633
		Attorney Docket No.	5455P001X

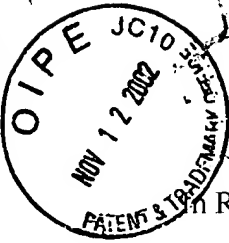
METHOD OF PAYMENT (check one)		FEE CALCULATION (continued)	
<input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input type="checkbox"/> Other <input type="checkbox"/> None <input type="checkbox"/> Deposit Account		3. ADDITIONAL FEES	
Deposit Account Number: 02-2666 Deposit Account Name: Blakely, Sokoloff, Taylor & Zafman LLP		Large Entity Small Entity	
The Commissioner is authorized to: (check all that apply) <input type="checkbox"/> Charge fee(s) indicated below <input checked="" type="checkbox"/> Credit any overpayments <input checked="" type="checkbox"/> Charge any additional fee(s) required under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20 <input type="checkbox"/> Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account		Fee Code Fee (\$)	
1. BASIC FILING FEE		Fee Description	
Large Entity Small Entity		Fee Paid	
Fee Code Fee (\$)		1051 130	
1001 740		1052 50	
1002 330		2051 65	
1003 510		2052 25	
1004 740		2053 130	
1005 160		1812 2,520	
SUBTOTAL (1) (\$)		1804 920 *	
2. EXTRA CLAIM FEES		1805 1,840 *	
Total Claims: 20** = 20** X Fee from below = Fee Paid		1251 110	
Independent Claims: 3 = 3 X Fee from below = Fee Paid		1252 400	
Multiple Dependent		1253 920	
Large Entity Small Entity		1254 1,440	
Fee Code Fee (\$)		1255 1,960	
1202 18		1404 320	
1201 84		1402 320	
1203 280		1403 280	
1204 84		1451 1,510	
1205 18		1452 110	
SUBTOTAL (2) (\$)		1453 1,280	
**or number previously paid, if greater. For Reissues, see below		1501 1,280	
		1502 460	
		1503 620	
		1460 130	
		1807 50	
		1806 180	
		8021 40	
		1809 740	
		1810 740	
		1801 740	
		1802 900	
		Other fee (specify)	
		* Reduced by Basic Filing Fee Paid	
		SUBTOTAL (3) (\$)	
		180.00	

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SUBMITTED BY		Complete (if applicable)	
Name (Print/Type)	Gregory D. Caldwell	Registration No. (Attorney/Agent)	39,926
Signature		Telephone	(503) 684-6200
		Date	11/07/02

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Docket No.: 5455P001X

#6 PB

5/6/03

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

THOMAS W. MOSSBERG

Application No.: 09/843,597

Filed: April 26, 2001

For: **HOLOGRAPHIC SPECTRAL FILTER**

Art Group: 3633

Examiner: Not Yet Assigned

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INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted before the mailing of a first Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s). Copies of the references cited on PTO/SB/08 are enclosed herewith.

11/13/2002 MCHAMMI 00000167 09843597

01 FC:1006

180.00 DP

The references were cited in a Search Report dated August 22, 2002 (copy enclosed herewith) from a foreign patent office in a counterpart PCT application.

The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

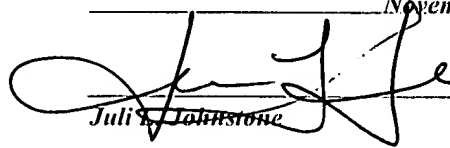
Date: November 07, 2002



Gregory D. Caldwell, Reg. No. 39,926

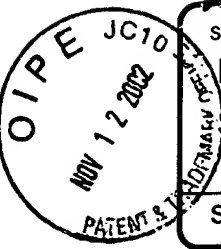
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Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet	1	of	2
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Complete if Known

Application Number	09/843,597
Filing Date	April 26, 2001
First Named Inventor	Thomas W. Mossberg
Group Art Unit	3633
Examiner Name	Not Yet Assigned
Attorney Docket Number	5455P001X

U.S. PATENT DOCUMENTS

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FOREIGN PATENT DOCUMENTS

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Examiner Signature		Date Considered	
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*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

¹Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). ⁴For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

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PTO/SB/08B (08-00)
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Sheet	2	of	2
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Application Number	09/843,597
Filing Date	April 26, 2001
First Named Inventor	Thomas W. Mössberg
Group Art Unit	3633
Examiner Name	Not Yet Assigned
Attorney Docket Number	5455P001X

OTHER ART - NON PATENT LITERATURE DOCUMENTS

[illegible]Examiner
Signature

Date
Considered

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